



# **DEPARTMENT OF ALCOHOL and DRUG PROGRAMS**

## **Information Management Services Division**

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### **California Outcome Measurement System (CalOMS) Treatment CalOMS Transition Strategies Overview**

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## **1. INTRODUCTION**

This document presents two unique data migration options for counties and direct providers to choose from for migrating open admission records from the Department of Alcohol and Drug Programs' (ADP's) California Alcohol and Drug Data System (CADDs) data system to the new ADP California Outcomes Measurement System (CalOMS) data system. To avoid redundancy, the term "C/DP" is used throughout this document to refer to both counties and direct providers. Each of the two options presented has unique activities, timelines and responsibilities associated with it that are described in detail in the sections that follow.

Each C/DP is currently in the process of preparing for transition from their CADDs method of data collection and processing to the new CalOMS process. C/DPs have chosen to either augment existing C/DP CADDs data systems to capture the 35 new CalOMS data elements and produce CalOMS formatted submission files or to implement a new system to facilitate C/DP CalOMS data collection and processing.

C/DPs choosing to augment their existing systems will maintain their current admissions data records in their existing systems and begin collecting CalOMS data elements moving forward beginning on 1/1/06. For C/DPs augmenting their existing systems, ADP has created a data conversion process that will extract existing CADDs open admissions records from ADP's CADDs data system and convert them into the new ADP CalOMS system. Specific tasks and considerations associated with this data transition process are described in section 3.1 of this document.

C/DPs choosing to implement a new system for collection and processing of their CalOMS data will likely need to load their open admission records into their new system. ADP has developed an approach to data transition that allows C/DPs to send their valid open admissions directly to ADP's CalOMS system and bypass the data conversion process from ADP CADDs to ADP CalOMS. Specific tasks and considerations associated with this data transition process are described in section 3.2 of this document.

## **2. PURPOSE AND SCOPE**

The purpose of this document is to communicate the data migration options available to C/DPs based on their strategy for transition to the new CalOMS data collection and processing. C/DPs should review the activities associated with their intended data migration strategy to make sure that they understand their roles and responsibilities. This document will not cover tasks or activities related to C/DP system certification or post transition topics such as production file submission scheduling or ongoing CalOMS support.

### 3. TRANSITION STRATEGIES OVERVIEW

The following subsections present two options that a C/DP may choose from to transition from their current C/DP CADDs process to the new CalOMS process. Option A (ADP CADDs Data Conversion Approach) was designed for C/DPs intending to augment their existing CADDs data collection systems. Option B (Preload Open Admission Data Transition Approach) was designed for C/DPs intending to implement a new CalOMS data collection system. Each option will detail the:

- Transition Approach Activities,
- Data Cleanup Strategy, and
- Sample CalOMS Transition Timeline.

#### 3.1 Option A – ADP CADDs Data Conversion Approach

This data migration option has been developed for C/DPs choosing to augment their existing CADDs data collection and processing systems to accommodate the CalOMS data elements and processing rules.

**NOTE:** This option assumes that C/DPs are confident in the quality and completeness of their data in the ADP CADDs system. C/DPs that intend to have their CADDs open admissions converted from ADP's CADDs system into the new ADP CalOMS system must make CADDs data cleanup their highest priority.

This option involves ADP converting all of the C/DP's CADDs open admissions records, that meet the pre-defined criteria, from the ADP CADDs system into the new ADP CalOMS system. All open admissions records that meet the following criteria will be extracted by ADP from the CADDs system and loaded into the new ADP CalOMS system on the agreed-upon conversion date:

- For clients receiving services in a Narcotic Treatment Program (NTP), all unmatched admission records will be copied over regardless of admission date.
- For clients where the Source of Referral is "Non-SACPA Court/Criminal Justice" in CADDs, all unmatched admission records will be copied over regardless of admission date.
- For SACPA clients, all unmatched admission records.
- For all other clients, only the unmatched admission records where the admission date is equal to or less than 18 months prior to the cut-over date will be copied to CalOMS. Any unmatched admission records where the admission date is more than 18 months prior to conversion date will not be copied to CalOMS.

- For clients receiving short-term residential services, only the unmatched records where the admission date is not more than 90 days prior to the transition date will be copied.
- No co-dependant records will be copied.

The agreed-upon conversion date will be set in a transition “Next Steps” conference call that will be scheduled to occur immediately following the successful certification of the C/DP’s CalOMS system. The date of conversion will be dependent on the successful submission of the C/DP’s final CADDs month data and completion of CADDs unmatched admissions verification, unmatched discharges cleanup, and suspense records cleanup.

Once the C/DP has submitted their final CADDs month data and CADDs data has been verified and cleanup has been completed, ADP will run a conversion program to extract all records from ADP’s CADDs system that meet the above described criteria and then load these records into the new ADP CalOMS system.

### **3.1.1 Transition Approach Activities**

The “ADP CADDs Data Conversion Approach” transition strategy has a unique set of roles and responsibilities for both the C/DP and ADP that are described below:

#### **C/DP Activities**

1. **Clean Up CADDs Data** – The primary responsibility of the C/DP in this approach is to complete their CADDs data verification and get any issues cleaned up. Each C/DP was sent a set of files that they will need to confirm or clean up prior to conversion. These files consist of the following:
  - CADDs Unmatched Admissions – This file represents the universe of ADP CADDs records that the C/DP’s conversion file will be created from. Verify that all the records included in this file are up to date and should be included in the data that will be converted into ADP’s CalOMS system.
  - CADDs Unmatched Discharges – This file contains discharge records in ADP CADDs that do not have a matching admissions record. These records are erroneous and should be cleaned up prior to the C/DP having their data converted into ADP’s CalOMS system.
  - CADDs Suspense Records – This file includes all the records that are on suspense in the ADP CADDs system. These records contain one or more errors that inhibit them from being successfully uploaded into CADDs. These records should be cleaned up prior to the C/DP having their data converted into ADP’s CalOMS system.

2. **Verify MPF Codes** – C/DPs should be reviewing and making any necessary updates to their Master Provider File (MPF) codes. A listing of all current MPF codes has been sent to each C/DP and will need to be reviewed to confirm that they are correct.
3. **Verify ITWS Production Access** – C/DPs must review and confirm their ITWS production access. This includes verifying the list of Approvers and Submitters communicated to ITWS during certification testing. Any required updates must be communicated to Department of Mental Health (DMH) prior to completion of transition activities.
4. **Determine Target Transition Date** – ADP will work with the C/DP to determine a target cutover date for transition. This will be the date on which the CADDs-to-CalOMS data conversion process is run by the CADDs Liaison at ADP. This data conversion process will only be run after the CADDs data cleanup procedures have been completed including any final CADDs file submission errors.
5. **Confirm Final CADDs Submission** – C/DPs must send a confirmation email to their CADDs Liaison upon successful transmission of their final CADDs submission file. This file will contain December 2005 CADDs records and will be sent at the end of January 2006.
6. **Configure C/DP System** – C/DPs must configure their CalOMS systems to produce correctly formatted CalOMS production data files for submission to ITWS. This involves replacing the header record “T” flag used to indicate a test file with the “P” flag used to indicate a production file.
7. **Begin Producing CalOMS Production Files** – After successful CADDs-to-CalOMS data conversion and C/DP CalOMS system configuration (described in Step 6 above) have been completed, the C/DP is ready to start producing CalOMS production data files for submission to ADP CalOMS. These files are NOT to be submitted to ITWS until the C/DP receives notice from their CADDs Liaison that it is ok to start submitting CalOMS production files.
8. **Submit First CalOMS Production File** – C/DPs will coordinate the submission of their first CalOMS production file with their CADDs Liaison. For the first CalOMS production submission C/DPs must submit their file and then send a confirmation email to their CADDs Liaison letting them know that file submission was successful.

### **ADP Activities**

1. **Assist With CADDs Cleanup** – CADDs Liaisons will assist C/DPs with their CADDs data cleanup efforts. This includes receiving and processing electronic/paper cleanup forms. CADDs Liaisons will also monitor the progress of CADDs data cleanup efforts for the C/DP.
2. **Assist With MPF Code Cleanup** – CADDs Liaisons will assist C/DPs with their Master Provider File (MPF) code cleanup efforts. This includes receiving and

processing electronic/paper cleanup forms. CADDs Liaisons will also monitor the progress of MPF code cleanup efforts for the C/DP.

3. **Conduct “Next Steps” Conference Call** – ADP will conduct a Transition “Next Steps” conference call with C/DPs immediately following the successful certification of their CalOMS system. This conference call will be used to achieve the following objectives:
  - Establish target cutover date for transition. This will be the date that the CADDs-to-CalOMS data conversion process will be run at ADP.
  - Communicate final CADDs data file submission errors cleanup strategy.
  - Communicate all tasks/activities that the C/DP must complete (including their sequence) to accomplish successful CalOMS transition.
4. **Confirm CADDs Data Cleanup Complete** – CADDs Liaison will confirm that all CADDs data cleanup has been successfully completed.
5. **Run CADDs-to-CalOMS Conversion Process** – After CADDs Liaison confirms that all CADDs data cleanup has been completed they will run the CADDs-to-CalOMS conversion process to convert the C/DP’s eligible ADP CADDs system data into the new ADP CalOMS system.
6. **Communicate CADDs Data Conversion Success** – CADDs Liaison will communicate successful completion of the CADDs-to-CalOMS data conversion process to the C/DP and then let them know the date on which they can send their first CalOMS production file.
7. **Update C/DP to “Certified” in ITWS** – ADP will set the certification status flag in ITWS to “Certified” upon successful completion of CADDs-to-CalOMS data conversion process. This will permit the C/DP to upload CalOMS submission files the ADP CalOMS system.
8. **Verify File Submittal Success** – Upon receipt of the C/DP’s first CalOMS production file submission confirmation email ADP will review the results of the file processing and communicate the results of file processing.

### **3.1.2 Data Cleanup Strategy**

This section presents activities for cleaning up CADDs data issues prior to CADDs-to-CalOMS data conversion. Roles and activities associated with CADDs data cleanup are described below:

#### **C/DP Activities**

1. **Verify CADDs Open Admission Records** – The C/DP will use the “CADDs Open Admissions” records file sent by ADP to verify that all open admissions are accurate. Any open admissions that are found to be inaccurate or require modification are to be

corrected using a CADDs data correction form and sent to ADP for processing. Correction forms should be packaged and sent to ADP with clear indication that the package is regarding CADDs Data Cleanup and contains CADDs data correction forms.

2. **Cleanup Unmatched Discharges in CADDs** – The C/DP will use the “CADDs Unmatched Discharges” records file sent by ADP to clean up all unmatched discharge records. Unmatched discharge records are to be corrected using a CADDs data correction form and sent to ADP for processing. Correction forms should be packaged and sent to ADP with clear indication that the package is regarding CADDs Data Cleanup and contains CADDs data correction forms.
3. **Cleanup Suspense Records in CADDs** – The C/DP will use the “CADDs Suspense Records” file sent by ADP to clean up all CADDs suspense records. CADDs suspense records are to be corrected using a CADDs data correction form and sent to ADP for processing. Correction forms should be packaged and sent to ADP with clear indication that the package is regarding CADDs Data Cleanup and contains CADDs data correction forms.

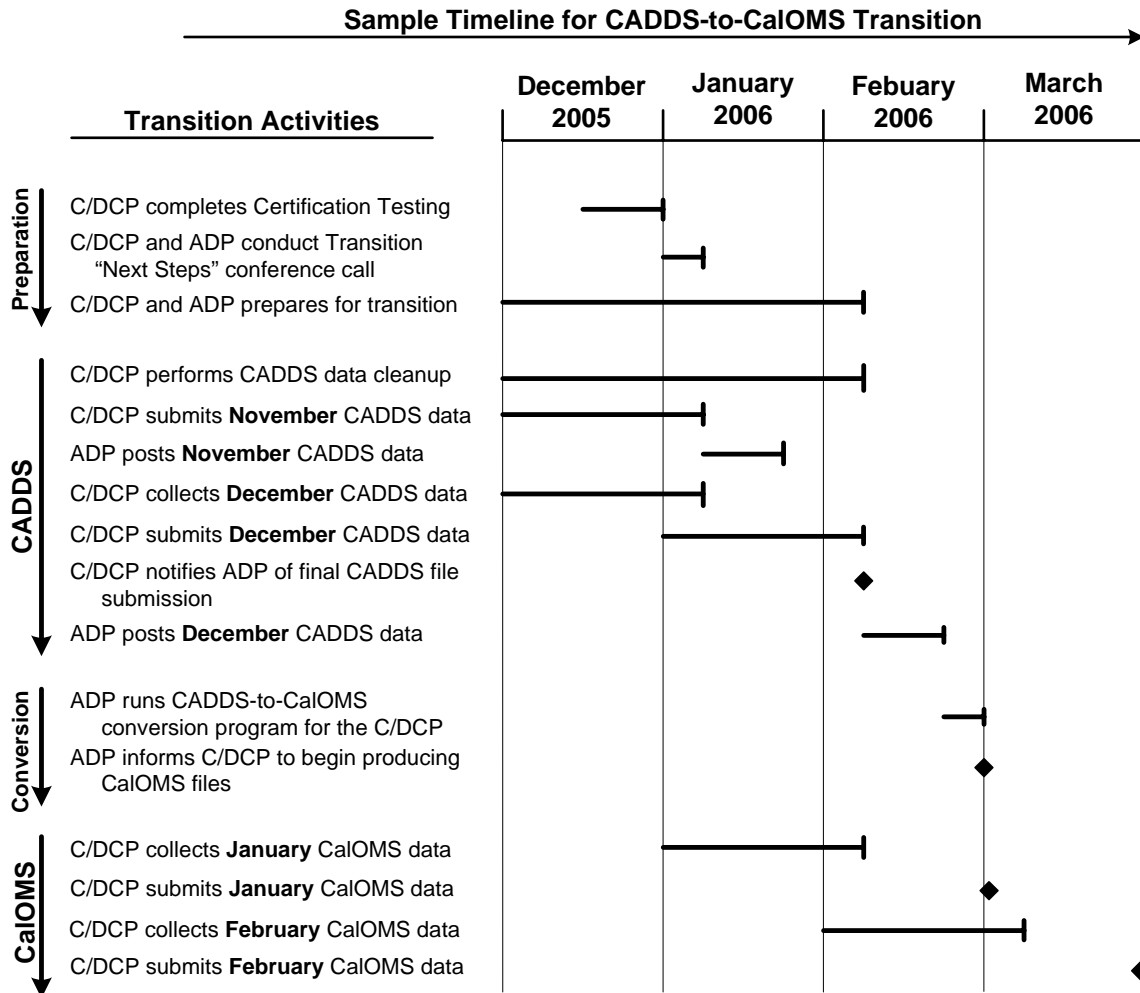
#### **ADP Activities**

1. **Process CADDs Data Cleanup** – ADP will receive packaged CADDs data correction forms from the C/DP and expedite processing of the forms.
2. **Verify Cleanup Effort Status** – ADP will notify the C/DP of any remaining clean up after all CADDs data correction forms have been processed.



### 3.1.3 Sample CalOMS Transition Timeline

The timeline sample below presents the sequence of events and dependencies for a C/DP to fully transition from CADDs data processing to the new CalOMS process. This timeline is an example of how a C/DP's transition will occur and does not represent real dates for all C/DPs. A timeline similar to the one below will be created for each C/DP as part of transition planning.



### **3.2 Option B – Preload Open Admission Data Transition Approach**

This data migration option has been developed for C/DPs choosing to implement a new system for collecting and processing CalOMS data. This strategy involves the C/DP preloading all open admission records into their new CalOMS system prior to the agreed-upon transition date (the date on which the C/DP will begin producing and submitting CalOMS production data files).

**NOTE:** All required CalOMS data elements will need to be loaded for all open admission records if a C/DP chooses this conversion strategy. This means that the C/DP may need to go back and re-interview active clients in order to gather the required CalOMS data elements.

The agreed-upon transition date will be set in a transition “Next Steps” conference call that will be scheduled to occur immediately following the certification of the C/DP’s CalOMS system. The date of transition will be dependent on the successful submission of the C/DP’s final CADDs month data and completion of open admissions entry into the C/DP’s new CalOMS system.

Once the C/DP has submitted their final CADDs month data and all open admissions have been loaded into the C/DP’s new CalOMS system, ADP will coordinate the production and upload of the C/DP’s first CalOMS production file. This file will contain all open admissions and will load all valid admission records into the new ADP CalOMS system.

Any C/DP intending to follow this data migration option is required to send a formal letter (signed by an authorized person) that instructs/permits ADP to first archive CADDs open admission records and then remove them from the CADDs system. ADP can not proceed with this data migration option until the authorization letter is received.

#### **3.2.1 Transition Approach Activities**

The “Preload Open Admission Data Conversion Approach” transition strategy has a unique set of roles and responsibilities for both the C/DP and ADP that are described below:

##### **C/DP Activities**

1. **Send Authorization Letter** – First step in this process will be to send the signed letter to ADP authorizing this migration option.
2. **Load Open Admission Records** – The primary responsibility of the C/DP in this approach is to load all open admission records into their new certified CalOMS system. These “pre-loaded” open admission records will become the foundation of records that get loaded into ADP’s CalOMS system.

3. **Clean Up CADDs Data** – The C/DP should complete the cleanup of their CADDs unmatched discharges and suspense records. Each C/DP was sent a set of files that they should clean up prior to conversion. These files consist of the following:
  - CADDs Unmatched Discharges – This file contains discharge records in ADP’s CADDs system that do not have a matching admissions record. These records are erroneous and should be cleaned up prior to the C/DP transitioning to the new CalOMS process.
  - CADDs Suspense Records – This file includes all the records that are on suspense in ADP’s CADDs system. These records contain one or more errors that inhibit them from being successfully uploaded into ADP’s CADDs system. These records should be cleaned up prior to the C/DP transitioning to the new CalOMS process.
4. **Verify MPF Codes** – C/DPs should be reviewing and making any necessary updates to their Master Provider File (MPF) codes. A listing of all current MPF codes has been sent to each C/DP and will need to be reviewed to confirm that they are correct.
5. **Verify ITWS Production Access** – C/DPs must review and confirm their ITWS production access. This includes verifying the list of Approvers and Submitters communicated to ITWS during certification testing. Any required updates must be communicated to Department of Mental Health (DMH) prior to completion of transition activities.
6. **Determine Target Transition Date** – ADP will work with the C/DP to determine a target cutover date for transition. This will be the date on which the C/DP will submit their first production CalOMS data file. This date will be dependent on successful submission of the C/DP’s final CADDs data file and completion of open admission records preloading into the C/DP’s new CalOMS system.
7. **Confirm Final CADDs Submission** – C/DPs must send a confirmation email to their CADDs Liaison upon successful transmission of their final CADDs submission file. This file will contain December 2005 CADDs records and will be sent before February 10, 2006.
8. **Configure C/DP System** – C/DPs must configure their CalOMS systems to produce correctly formatted CalOMS production data files for submission to ITWS. This involves replacing the header record “T” flag used to indicate a test file with the “P” flag used to indicate a production file.
9. **Produce First Production CalOMS File** – After successful preloading of open admission into the C/DP’s new CalOMS system and C/DP system configuration (described in Step 8 above) have been completed, the C/DP is ready to start producing CalOMS production data files. These files are NOT to be submitted to ITWS until the C/DP receives notice from their CADDs Liaison that it is ok to start submitting CalOMS production files.

10. **Submit First CalOMS Production File** – C/DPs will coordinate the submission of their first CalOMS production file with their CADDs Liaison. For the first CalOMS production submission C/DPs must submit their file and then send a confirmation email to their CADDs Liaison letting them know that file submission was successful.

### **ADP Activities**

1. **Assist With CADDs Cleanup** – CADDs Liaisons will assist C/DPs with their CADDs data cleanup efforts. This includes receiving and processing electronic/paper cleanup forms. CADDs Liaisons will also monitor the progress of CADDs data cleanup efforts for the C/DP.
2. **Assist With MPF Code Cleanup** – CADDs Liaisons will assist C/DPs with their Master Provider File (MPF) code cleanup efforts. This includes receiving and processing electronic/paper cleanup forms. CADDs Liaisons will also monitor the progress of MPF code cleanup efforts for the C/DP.
3. **Conduct “Next Steps” Conference Call** – ADP will conduct a Transition “Next Steps” conference call with C/DPs immediately following the successful certification of their CalOMS system. This conference call will be used to achieve the following objectives:
  - Establish target cutover date for transition. This will be the date that the first production CalOMS data file is to be submitted by the C/DP.
  - Communicate final CADDs data file submission errors cleanup strategy.
  - Communicate all tasks/activities that the C/DP must complete (including their sequence) to accomplish successful CalOMS transition.
4. **Confirm CADDs Cleanup** – CADDs Liaison will confirm that all CADDs data cleanup has been successfully completed and that all open admission records have been successfully preloaded into the C/DP’s new system.
5. **Archive and Purge Records ADP CADDs Open Admission Records** – ADP will archive and purge all of the C/DP’s open admissions from the CADDs system prior to the C/DP submitting their open admission records via their first production submittal to ADP CalOMS.
6. **Update C/DP to “Certified” in ITWS** – ADP will set the certification status flag in ITWS to “Certified” upon successful completion of archiving and purging of all open admissions from the ADP CADDs system. This will permit the C/DP to upload CalOMS submission files the ADP CalOMS system.
7. **Coordinate First CalOMS File Submittal** – Once the ADP CADDs archiving/purging activity has been completed and the C/DP has been set to “Certified” in ITWS, the CADDs Liaison will instruct the C/DP to submit their first CalOMS production file containing their universe of open admissions.

8. **Verify File Submittal Success** – Upon receipt of the C/DP's first CalOMS production file submission confirmation email ADP will review the results of the file processing and communicate the results of file processing.

### **3.2.2 Data Cleanup Strategy**

This section presents activities for cleaning up CADDs data issues prior to transition to the new CalOMS process. Roles and activities associated with CADDs data cleanup are described below:

#### **C/DP Activities**

1. **Load Open Admission Records Into New System** – The C/DP will load all of their open admission records into their new system. This process will serve to verify the validity of all open admission records and will confirm that all “live data” is in the C/DP's production system.
2. **Cleanup Unmatched Discharges in CADDs** – The C/DP will use the “CADDs Unmatched Discharges” records file sent by ADP to clean up all unmatched discharge records. Unmatched discharge records are to be corrected using a CADDs data correction form and sent to ADP for processing. Correction forms should be packaged and sent to ADP with clear indication that the package is regarding CADDs Data Cleanup and contains CADDs data correction forms.
3. **Cleanup Suspense Records in CADDs** – The C/DP will use the “CADDs Suspense Records” file sent by ADP to clean up all CADDs suspense records. CADDs suspense records are to be corrected using a CADDs data correction form and sent to ADP for processing. Correction forms should be packaged and sent to ADP with clear indication that the package is regarding CADDs Data Cleanup and contains CADDs data correction forms.

#### **ADP Activities**

1. **Process CADDs Data Cleanup** – ADP will receive packaged CADDs data correction forms and expedite processing of the forms.
2. **Verify Cleanup Effort Status** – ADP will notify the C/DP of any remaining clean up after all CADDs data correction forms have been processed.
3. **Archive & Purge CADDs Open Admission Records** – ADP will archive and purge all open admissions from the CADDs system upon receipt of confirmation of successful preloading of open admissions into new C/DP system.

### 3.2.3 Sample CalOMS Transition Timeline

The timeline sample below presents the sequence of events and dependencies for a C/DP to fully transition from CADDs data processing to the new CalOMS process. This timeline is an example of how a C/DP's transition will occur and does not represent real dates for all C/DPs. A timeline similar to the one below will be created for each C/DP as part of transition planning.

